

ONE-STOP COMMON INTAKE AND CASE MANAGEMENT



**Presented by the:
Electronic One-Stop Steering Committee**

**Approved by:
California's One-Stop Career Center System
Task Force**

September 4, 1997



One-Stop Career Center System Task Force



William M. Maguy
Chairman

In Cooperation with the State Job Training Coordinating Council

Pete Wilson
Governor

DATE: September 4, 1997

TO: Interested Parties

FROM: William M. Maguy, Chairman
One-Stop Career Center System Task Force

On September 4, 1997, California's One-Stop Career Center System Task Force voted to approve the report, *One-Stop Common Intake and Case Management*, presented by the Electronic One-Stop Steering Committee (EOSSC) Chair.

The report offers the EOSSC's recommendations for One-Stop Common Intake and Case Management systems. The recommendations include the following:

Adopt the functional and technology requirements, which are included in the report's appendixes, as interim guidelines pending the results of a pilot to test them in One-Stop environment(s).

If warranted by the pilot results, adopt the functional and technology requirements as official One-Stop standards in California.

The functional and technology requirements are intended for use by local One-Stop partnerships as an evaluation tool or template against which Common Intake and Case Management software currently in use or being considered for purchase or development may be measured. At a minimum, the functional and business requirements will help to establish a level of technological consistency among the local One-Stop systems.

The report is available on the One-Stop Career Center System Task Force Home Page at: <http://www.sjtcc.cahwnet.gov/SJTCCWEB/ONE-STOP>. If you would like a copy mailed to you, or have any questions, please call the Office of Workforce Policy at (916) 654-9995.

Sincerely,

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One-Stop Common Intake and Case Management

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For additional information or copies of this report, please link to the California One-Stop Career Center System Home Page at:

<http://www.sjtcc.cahwnet.gov/SJTCCWEB/ONE-STOP>

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EXECUTIVE SUMMARY

This report, “One-Stop Common Intake and Case Management,” presents guidelines prepared by the Electronic One-Stop Steering Committee (EOSSC) and approved by the One-Stop Career Center System Task Force.

The requirements and recommendations in this report are not an attempt to prescribe how local partners operate One-Stop Centers. The intent is to ensure that One-Stop Common Intake and Case Management systems will have a statewide level of consistency and a potential for sharing information. Since the requirements and recommendations are limited to Common Intake and Case Management systems, they do not address the underlying electronic infrastructure that will allow information sharing between geographically disparate partners and/or centers. The requirements and recommendations also do not address the interfaces and/or bridges needed to exchange information between One-Stop applications and the existing systems of the One-Stop partners. Until these items are addressed, the benefits of consistency and the potential for information sharing will not be fully realized.

The EOSSC recognizes the need to develop recommendations on employer services, and the fact that this report does not address employer services. As defined in the One-Stop Vision, Common Intake and Case Management are services for job, education, and training seekers. Future EOSSC efforts will focus on employer services, such as Job Order/Talent Bank applications, and enhanced Labor Market Information.

A brief overview of each section of this report follows:

Section I describes integration as one of the guiding principles that form the platform on which the One-Stop Vision is being designed, how shared Case Management and Common Intake processes will support integration, and the State and local roles during implementation as prescribed in the Investment Principles.

Section II describes how the functional and technology requirements were developed.

Section III describes the purpose of the report and the requirements.

Section IV gives a high level conceptual view of Intake and Case Management work today, and how they are expected to improve after the recommendations in this report are implemented.

Section V describes Common Intake and Case Management applications as envisioned by the work groups.

Section VI summarizes the recommendations of the EOSSC.

Appendix A - contains the Common Intake function requirements.

Appendix B - contains the Case Management functional requirements.

Appendix C - contains the Technology requirements.

Appendix D - contains the Charters for the Common Intake and Case Management Work Groups.

I. BACKGROUND

A. California's One-Stop Vision

California's One-Stop Vision, published in December of 1995, is the culmination of a collaborative planning and development process initiated in November 1994 with funding from the U.S. Department of Labor (DOL). The One-Stop Vision was built upon four broad outcome objectives or "guiding principles." These guiding principles, as stated in the Vision, are:

The One-Stop system will be an integrated system, offering as many employment, training, and education services as possible for unified customer service; offer its primary customers – employers and job, education, and training seekers – a comprehensive array of useful information, and wide and easy access to needed services; be customer focused and able to support informed choice by providing a means for customers to judge the quality of these services; and be performance based with the clear outcomes it seeks to achieve identified, and methods, including customer satisfaction, for measuring the agreed-upon outcomes.

These guiding principles form the platform upon which California's One-Stop System is being designed.

An important goal of the One-Stop Vision is to enable integration of the array of workforce preparation programs and services available to address the needs of the State's job, education, and training seekers. This integration will allow a direct connection and partnership between the local One-Stop System and the agencies and organizations delivering employment, education, and training services.

The form in which programs and services will be integrated and delivered to One-Stop System customers can be expected to change over time, but the intent to maximize local flexibility and control and meet locally-determined customer needs will remain a priority.

Seamless, non-bureaucratic operations of the system and Centers will be achieved by pursuing integration strategies related to the common services the system will provide and the common functions necessary to provide them. Among those strategies are:

- A. Cross-training of all staff in the One-Stop System,
- B. Shared Case Management among Center partners,
- C. Shared job development,
- D. Common intake/assessment¹ processes throughout the system,
- E. Locally standardized information and referral, and
- F. Shared administration among partners.

This report addresses two integration strategies: Common Intake and Case Management. A Common Intake system will capture job, education, and training seekers' basic information one time; they will not have to repeat the process with different partners or at different centers. Shared Case Management among Center partners will allow customer information and progress to be tracked with the participant throughout his or her involvement with the One-Stop System.

B. Investment Principles

In 1997, the One-Stop Task Force adopted a set of mandatory investment principles. The Investment Principles describe state and local roles for the implementation of a One-Stop Career Center System in California. State responsibilities include providing overall policy guidance and oversight of a One-Stop Career Center system, facilitating collaboration between the partners at both the State and local levels, developing electronic linkages between One-Stop Centers statewide, and developing tools/systems with statewide application. Local partnerships are responsible for designing One-Stop Career Centers that reflect the needs of their local communities.

One of the investment principles deals with the creation of an electronic infrastructure upon which One-Stop System will rely heavily to provide customers with easy access to various types of high quality information. Local investments in the electronic infrastructure are expected to focus on an open systems architecture; increasing connectivity between partners at the local level and the state; increasing hardware/software capacity at the local level; and developing local applications when those applications are unique to the individual One-Stop Career Center. The One-Stop Task Force established the EOSSC to develop recommendations regarding the statewide electronic infrastructure, including tools/systems with statewide application.

This approach will allow California to obtain the highest return from limited funding by fostering statewide consistency and compatibility, which will make the electronic sharing of information between One-Stop partners and centers possible, and help reduce duplication of effort.

¹ "Assessment" refers to determination of eligibility for categorical programs. The Common Intake process described in this report develops a list of categorical programs for which the individual is potentially eligible but leaves it to the program operator to determine final eligibility.

Key elements of the statewide electronic infrastructure include the following:

- A. Improved labor market and career information
- B. A common (universal) intake/application process
- C. Automated program eligibility applications
- D. Common Case Management tools
- E. Automated management information system and cost accounting tools
- F. Consumer reports system
- G. Automated job bank and talent bank functions

This report delivers the first set of EOSSC recommendations regarding applications with statewide applicability.

II. APPROACH

A. Work Group Charters

In early 1997, the EOSSC selected Common Intake and Case Management as the first One-Stop components with statewide application on which to develop recommendations.

The EOSSC determined that the most appropriate approach to Common Intake and Case Management would be to define functional and technology requirements for software and develop recommendations for using the requirements. The EOSSC proposed the charter of two work groups to define the functional and technology requirements. One of the work groups would focus on Common Intake, and the other work group would focus on Case Management.

The work groups would be asked to develop high-level component descriptions, as well as functional and technology requirements to successfully operate Common Intake and Case Management in a One-Stop environment. The EOSSC specified that the work groups include line staff from state and local partners, because, along with specific program knowledge, they would bring expertise about intake and/or case management to the table.

The One-Stop Task Force approved both charters in February, 1997.

B. Convening the Work Groups

Following the One-Stop Task Force's approval of the Common Intake and Case Management work group charters, the Office of Workforce Policy (OWP) began recruiting members for each work group.

In the meantime, the EOSSC set up a contract with Deloitte & Touche Consulting Group (DTCG) to act as independent and impartial facilitators of the work groups.

The work groups were convened for a joint kick-off meeting on April 7, 1997. During the kick-off meeting, members of both work groups indicated they wanted to continue as a single or joint work group until conditions warranted that the groups be separated. A schedule of work group sessions was established at the kick-off meeting.

The following State and local staff participated in the work group sessions:

Tony Armenta,
California Department of Social Services

Kathy Bullock,
San Diego Private Industry Council

Ron Corbal,
Campbell Job Service Office
Employment Development Department

Robert Ehlers,
Veteran Programs
Employment Development Department

Nada Grigsby
County of San Diego
Department of Social Services

Deborah Hojjatie,
Job Service Division
Employment Development Department

Bill Knierim,
Sacramento County GAIN

Diane Lewis,
California Department of Aging

Bob Marr,
Office of Workforce Policy
Employment Development Department

Sharon Nichols,
Information Technology Branch
Employment Development Department

Anthony Perez,
Job Service Division
Employment Development Department

Gil Sanguinetti,
California Department of Aging

Rose Mary Sweeney,
South Bay Private Industry Council

Denise Wallace,
California Department of Aging

Nick Wolf,
Department of Rehabilitation

Anna Brannen,
Information Technology Branch
Employment Development Department

Jane Canty,
Sacramento County
Department of Human Assistance

Willis Dyer,
Office of Workforce Policy
Employment Development Department

Polo Enriquez,
North Central Counties Consortium
Suteco Schools
Career Training & Education Center

William Hewitt,
Irvine Valley College

Megan Juring,
Department of Rehabilitation

Allen Kratzer,
Merced County
Private Industry Training Department

Beth Mann,
California Department of Aging

Andrew Munoz
South Bay Private Industry Council

Don Peery,
Shasta County Private Industry Council

Judy, Sakamoto,
Operations Support Division
Employment Development Department

Susan Sundell,
California Department of Education

Tonia Reyes Uranga
Garden Grove One-Stop Center

Loren Weatherly,
Unemployment Insurance Division
Employment Development Department

C. Data Collection Methodology

The work groups never separated into two groups as originally planned. A total of nine Joint Application Development (JAD) sessions were conducted in Sacramento between April 16, and May 30, 1997. The JAD sessions were inclusive, and all members participated in the discussions. The discussions were very detailed and comprehensive, and centered on data elements, components, functional requirements, and technology requirements of Common Intake and Case Management in a One-Stop environment. The work groups were able to consider the work being done by the agencies of the work group participants during the sessions.

The DTCTG facilitator began each session with an outline of the topic which provided a beginning point and helped guide the discussions. DTCTG staff made immediate revisions to the text as the work groups reached consensus.

In addition to the JAD sessions, the work groups previewed and discussed the Common Intake application being developed by the Iowa-led ALMIS (America's Labor Market Information System) consortium. The ALMIS consortium had not begun work on a Case Management application.

III. PURPOSE OF REPORT

A. EOSSC Recommendations

This report delivers EOSSC recommendations for One-Stop Common Intake and Case Management systems. The recommendations include adopting these draft functional and technology requirements as interim guidelines, testing the requirements by piloting them in a One-Stop environment, and, if warranted by the results of the pilot, adopting the requirements as official One-Stop standards.

B. Functional and Technology Requirements

The functional and technology requirements are intended for use by local One-Stop partnerships as an evaluation tool or template against which Common Intake and Case Management software currently in use or being considered for purchase or development may be measured.

After they are adopted as interim guidelines, local partnerships should be able to invest in Common Intake and Case Management tools that meet the requirements. At a minimum, the interim guidelines will help to establish a level of technological consistency among the local One-Stop systems.

C. Risk Analysis

There is a risk that the pilot test results will indicate a need to refine the requirements or even to throw them out and restart the entire process. If this occurs, local partners that have implemented Common Intake and/or Case Management systems based on the interim guidelines may end up with system(s) that do not meet the long-term business needs for the One-Stop System. Local partners should consider this risk when making a decision to invest in Common Intake and/or Case Management products before the requirements have been officially adopted as standards.

These functional and technology requirements are intended to apply only to new Common Intake and/or Case Management systems—systems purchased, developed, and/or implemented following the adoption of the EOSSC recommendations. The recommendations are not intended to be retroactive, and do not apply to systems that were already in place or that were being implemented prior to the release of this report. However, local entities should be aware that existing Case Management and Common Intake systems that do not meet the technology and functional and technology requirements may not meet the long-term business needs for the One-Stop system, and may impact One-Stop certification.

D. Electronic Infrastructure

The electronic infrastructure will be the foundation which will be used to develop an integrated, comprehensive, customer-focused and performance-based One-Stop System for California. The vision for the electronic infrastructure can be summed up in one phrase: “Reaching anywhere, anytime”. Its design and development will be guided by four principles: Open system, locally-driven, multiple access and fully connected.

This report does not fully address issues relating to the electronic infrastructure that must be resolved before the potential for information sharing among One-Stop partners and One-Stop centers can be fully realized:

IV. CONCEPT

The functional and technology requirements contained in this report are a first step toward developing the electronic infrastructure for California's One-Stop Vision. The infrastructure issues discussed in Section III must be addressed before sharing of data with legacy systems and with other One-Stop Centers will be feasible.

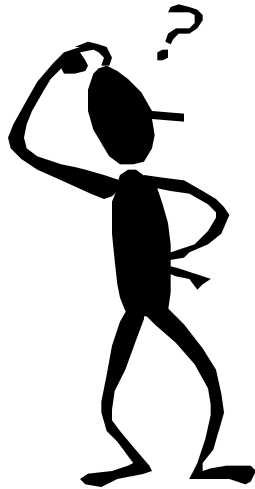
The functional and technology requirements are not final; they are expected to evolve over the course of time as California's One-Stop Vision is implemented. The requirements will be refined after they are pilot tested in a One-Stop environment, when the infrastructure issues are resolved, if legislation results in changes to program requirements of the mandated One-Stop partners (e.g., block grants instead of categorical programs), and as technology evolves. This is in line with the One-Stop Vision which states integration will be an incremental process.

The work groups found themselves constrained by the categorical nature of the federally mandated programs. These programs have different funding streams, rules and regulations, eligibility criteria, reporting and other requirements. These requirements attempt to accommodate categorical program constraints in a way that is transparent to the customer.

Today (Figure 1), an individual seeking services from multiple federally mandated programs goes through a separate intake process for each program. Much of the information collected is duplicative, but the programs do not share intake information so the individual must repeat some answers multiple times. If the client enrolls in multiple programs, service providers within the One-Stop Center do not know which of their partners is also providing services to the individual, and multiple service providers cannot ensure their services do not overlap.

Once the Common Intake and Case Management recommendations are adopted (Figure 2), an individual seeking services from multiple federally mandated programs would only have to provide the common information once. The goal is to begin the interchange of intake information, making it accessible by all One-Stop partners, as appropriate. All service providers within the One-Stop Center will be able to determine which of their partners are providing services to the individual, and will be able to avoid providing overlapping services.

Figure 1



Mandated Programs

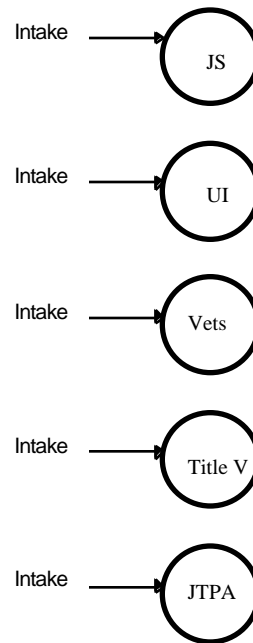
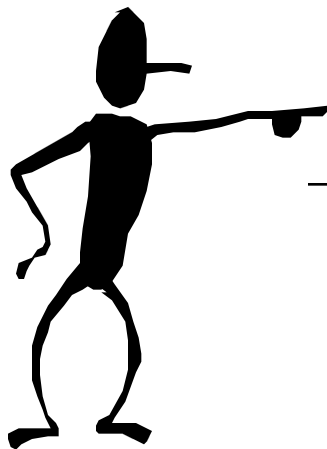
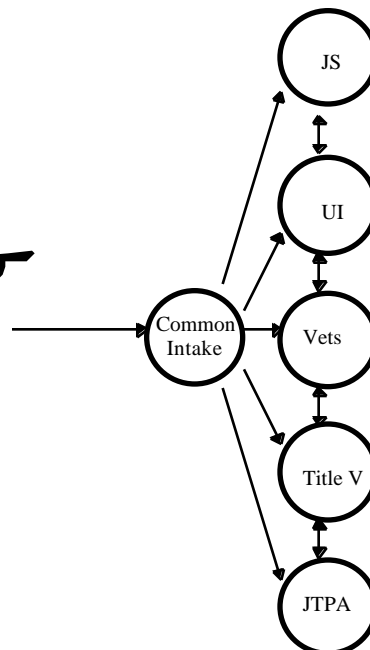


Figure 2

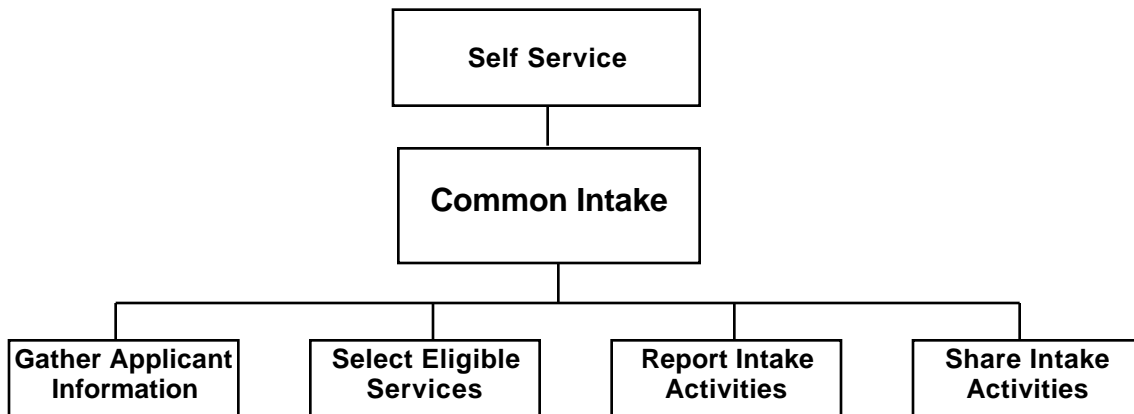


Mandated Programs



V. APPLICATION DESCRIPTIONS

Following are descriptions of the Common Intake and Case Management functions. These descriptions include the major sub-processes for each function. Additional layers of sub-processes, functional requirements and technology requirements are provided in the appendixes.



Self-Service

A One-Stop service delivery strategy is to place emphasis on self-service and group activities—although staff assistance should always be available for individuals that need it. Individuals utilizing only self-service resources of a One-Stop Center would not be required to provide Common Intake information. Work group members that work in unofficial One-Stop Centers said they will track usage of self-service resources, and will probably ask self-service customers to provide some intake information. The ALMIS consortium's Common Intake system includes features for tracking self-service resource use: customers can enter as much, or as little, identifying information as they choose, and can "check off" self-service resources they came in to use.

A. Common Intake

When an individual wants services that require the assistance of a staff member or services that require categorical program eligibility, he/she would be asked to provide Common Intake Information. Common Intake comprises a series of functions which capture personal, and demographic data that is needed by One-Stop Career Center partners. Exploratory or leading questions are used to help point the job, education, and training seeker toward appropriate services or programs for which he/she may be eligible. If

responses to leading questions indicate an individual is potentially eligible for a specific program or service, additional specific program-related questions may appear. Common Intake also includes a reporting function capable of producing reports on the center's intake activities as well as intake forms. Finally, Common Intake includes the functionality of sharing intake information among center partners and with other One-Stop Career Centers.

Gather Applicant Information

The Common Intake system must have screens which collect the minimum data elements listed in Appendix A to this report. The leading, or exploratory, questions, which are listed in Appendix A, should be determined by program owners. The intent of these questions is not to eliminate individuals from applying for particular services, but to identify services for which they are likely to qualify. Depending on the individual requirements of the One-Stop Career Center, detailed rules can be programmed into a Common Intake system.

Select Eligible Services

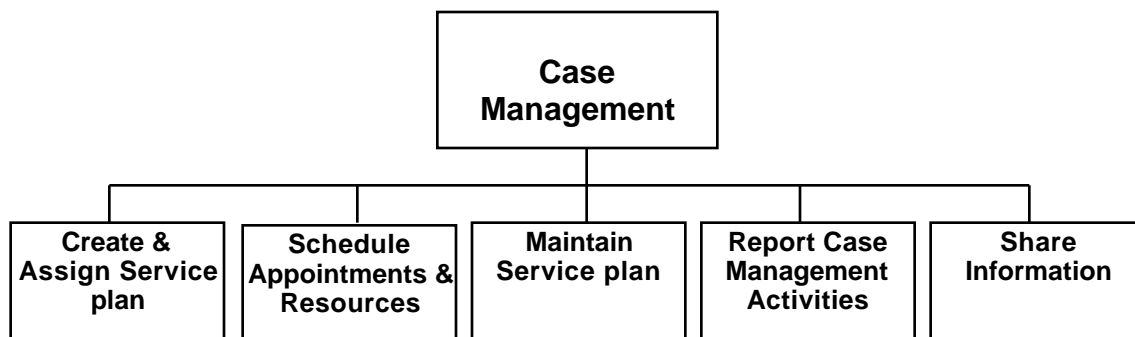
Based on the responses to the common data elements, and responses to the leading questions, a Common Intake system must generate a list of services for which the individual potentially qualifies.

Report Intake Activities

This process allows One-Stop Center staff to generate activity and performance reports on intake activities as well as intake forms and/or data sheets for individuals.

Share Intake Information

The purpose of a Common Intake system is to reduce redundant collection of data elements. Consequently, the ability to share Common Intake information among One-Stop Career Center partners, with other One-Stop Career Centers, and with existing systems utilized by One-Stop Career Center partners is very important. Implementation of this functionality will require the development of interfaces with legacy systems and a method or system for sharing data between One-Stop Career Centers.



B. Case Management

Case Management closely interacts with the Common Intake function as it uses the information collected to build a Service Plan for the individual. A Service Plan identifies programs and services that may help the individual's employment outlook. During the Case Management process, Service Plans are developed and administered, and the individual's progress, as he/she completes activities in the Service Plan, is monitored. An individual's Service Plan is shared with One-Stop partners and Career Centers, as appropriate. The major sub-processes are presented below:

Create and Assign Service Plan

Based on the Common Intake information, this process creates the Service Plan, makes the Service Plan available to identified One-Stop program(s)/partner(s), and updates the Service Plan information as necessary. This process may also assign a One-Stop Center staff member to assist the client in obtaining One-Stop information, and to help refer and track the job, education, and training seeker through the One-Stop service delivery.

Schedule Appointments and Resources

This optional process automatically schedules an appointment with a One-Stop Center staff member, conference room reservations, and other One-Stop Career Center resources (e.g., overhead projectors).

Maintain Service Plan

This process updates the Service Plan information based on events that occur. It may be used for maintaining reminders, posting critical information to Service Plan notes, or passing along information to other staff regarding the Service Plan.

Report Case Management Activities

This process allows One-Stop Center staff to generate activity and performance reports on case management activities as well as needed forms and/or data sheets for individuals.

Share Information Among EOS Systems

This process allows electronic sharing of Service Plan information with other partner agencies, One-Stop Career Centers, and/or existing systems.

C. Functional and Technology Requirements

The recommendations and requirements described in this report are a first step toward implementing compatibility standards for the One-Stop electronic infrastructure. Requirements must be based in reality, and these should be tested by piloting them in One-Stop Centers in California. If warranted by the results of the pilot(s), the functional and technology requirements should be modified, or redeveloped. The functional and technology requirements detailed in the appendixes will implement the functions described in this section with the exception of the following:

The Exploratory Questions described in the Common Intake component must be developed. The EOSSC recommends categorical program “owners” complete this task.

The reporting needs of both components need to be further defined. The EOSSC recommends this be done by local partners that will be using the reports.

The information sharing components require application, system and network interfaces be developed.

VI. NEXT STEPS

At the September 4, 1997, meeting of the One-Stop Task Force, the EOSSC presented its recommendations for testing the functional and technology requirements for One-Stop Common Intake and Case Management systems.

The EOSSC recommended that the following “next” steps be taken:

Adopt the functional and technology requirements, including the data elements, as guidelines until they can be tested in a One-Stop environment. Release the guidelines to local partners for their use as templates for evaluating Common Intake and Case Management products.

Test the functional and technology requirements through a six-month pilot in a One-Stop environment. The pilot should include the sharing of information between One-Stop Partners and Centers.

Have the EOSSC report on the results of the pilot within nine months of the pilot beginning.

The One-Stop Task Force approved this report and the EOSSC’s recommendations as described herein. The business and technology requirements were adopted as interim guidelines pending the results of a pilot.

APPENDIX A: COMMON INTAKE

This Appendix contains:

- **The Functional Decomposition which is an outline of the process and subprocess headings**
- **The Data Element Description x Function chart which lists and describes the data elements for each of the process subfunctions**
- **The Requirements Matrix which provides the business requirements and descriptions for this process**

California EOS Common Intake Functional Decomposition

COMMON INTAKE

Gather Applicant Information

- Create or Collect Password/PIN
- Collect Name
- Collect SSN
- Collect Complete Address
- Collect Drivers License Info
- Collect Phone Number/Message Number
- Collect Preferred Method of Contact
- Collect Electronic Mail
- Collect Date of Birth
- Collect Gender
- Collect Literacy Level
- Collect Ethnicity
- Collect Citizenship
- Collect Alien Clearance
- Collect Language Preference
- Ask Exploratory and Follow-up Veteran Question(s)
- Ask Exploratory and Follow-up Disability Question(s)
- Ask Exploratory and Follow-up Senior Question(s)
- Ask Exploratory and Follow-up Unemployment Question(s)
- Ask Exploratory and Follow-up Public Assistance Question(s)
- Ask Exploratory and Follow-up Non-Mandatory Partner Questions

Select Eligible Services

- Create Release Form
- Produce List of Programs for Which the Applicant is Potentially Eligible

Report Intake Activities

- Produce Applicant Reports
- Produce Management Reports

Share Intake Information

- Interface to Systems for Other One-Stop Programs